

Archived Information

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
WASHINGTON, D.C. 20202-2575

**FY 2005 APPLICATION KIT FOR NEW GRANTS
UNDER
THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION
RESEARCH**

**REHABILITATION RESEARCH AND TRAINING CENTERS (RRTC) PROGRAM
on Promoting Access To Effective Consumer-Centered And Community-Based Practices
And Supports For Adults With Serious Mental Illness**

CFDA NUMBER: 84.133B-3



FORM APPROVED
OMB No. 1820-0027, EXP. DATE 02/28/2007
ED FORM 424, 04/30/2008

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: August 16, 2005

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DATE: June 16, 2005

Dear Applicant:

The Secretary invites applications for new awards for Fiscal Year (FY) 2005 for the Rehabilitation Research And Training Centers (RRTC) Program on Promoting Access To Effective Consumer-Centered And Community-Based Practices And Supports For Adults With Serious Mental Illness (CFDA 84.133B-3), authorized under the Rehabilitation Act of 1973, as amended. The purpose of this program is to award grants to eligible applicants to plan and conduct research, demonstration projects, training, and related activities that help to maximize the full inclusion and integration of individuals with disabilities into society and to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended (Act).

The final priority notice (NFP) and the notice inviting applications (NIA) were published in the Federal Register on June 17, 2005. NIDRR intends to fund one new RRTC. The maximum amount, in any year is \$1,300,000 and includes both direct and (15%) indirect costs. This amount of estimated available funds includes \$800,000 from the Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (DHHS/SAMHSA) and \$500,000 from NIDRR.

ELIGIBLE APPLICANTS:

Parties eligible to apply for grants under this program are States, public or private agencies, including for-profit agencies, public or private organizations, including for-profit organizations, institutions of higher education, and Indian tribes and tribal organizations

IMPORTANT APPLICATION PROCEDURES

This application kit contains application information different from previous years as well as information and the required forms for potential applicants to apply and be considered for a FY 2005 grant award under the RRTC competition (including the NFP, NIA and selection criteria). Potential applicants are advised to read the materials carefully, particularly the information on the types of organizations that are eligible to apply for these grants, how to prepare an application, the dollar amount for the budget period, the protection of human subjects, and the selection criteria (Section F.) used by the reviewers to evaluate each application. The program narrative must address the selection criteria. To facilitate the peer review process, we recommend that your narrative follow the selection criteria in the order presented. Additionally, each application **should include a one-page abstract**. The abstract is a critical component of the application and should highlight the purpose, target population to be served during the project period, planned goals and objectives, innovative strategies utilized, project outcomes, and dissemination activities.

We encourage you to read Section B -- Grants.gov Submission Procedures and Tips for Applicants

You may submit your application either on paper or electronically through Grants.gov to the Department. Detailed instructions for submitting your application on paper can be found in Section C.

If submitting by paper, you must either mail (postmarked), hand-deliver, or submit by carrier service [commercial carriers submit to a different address] on or before the application deadline date, to the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.133B-3, **550 12th Street, SW, PCP - Room 7041**, Washington, DC 20202. The phone number for ACC to list for express mail is (202) 245-6288.

For paper copy, you are required to submit an original and two copies of your application. NIDRR would appreciate your including five additional copies of your paper application to facilitate the peer review process (one original and 9 copies in all). We also recommend that the original copy of your application be secured with a binder clip in order to facilitate any additional copying that might be required.

You may also submit your application electronically through the Grants.gov system. Section C has detailed instructions for submitting the application electronically. You may access the electronic grant application for the RRTC at: <http://www.grants.gov> and find under CFDA 84.133.

We are encouraging you to submit your application electronically.

The closing date (application deadline) is **August 16, 2005**.

PROGRAM RULES

This grant competition is subject to (a) the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 74, 75, 77, 80, 81, 82, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs and (b) the program regulations 34 CFR part 350.

TECHNICAL ASSISTANCE

NIDRR will hold a pre-application meeting on June 30, 2005 from 10am EST to Noon. You may either attend in person at Potomac Center Plaza, room 6082, 550 12th Street, SW., Washington, DC or via conference call. You need to pre-register.

If you would like to either attend the pre-application meeting or have any questions about the information in this application packet, please contact Donna Nangle either by e-mail at Donna.Nangle@ed.gov or by telephone at (202) 245-7462. Individuals who use a telecommunications device (TDD) may call the Federal Relay Service (FRS) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday. Please review the Frequently Asked Questions and Points to Remember in Application Preparation (Section H).

NOTE: Please forward this entire application packet to the individual or office responsible for preparing the application, as they will need the entire packet to complete the grant application.

Thank you for your interest in this program.

Sincerely,

//Signed//

Steven James Tingus, M.S., C.Phil.
Director,
National Institute on Disability
and Rehabilitation Research

SECTION B

Grants.gov Submission Procedures and Tips for Applicants

IMPORTANT PLEASE READ FIRST

Please note that the Grants.gov site works differently than the Department of Education's e-Application system. This program will be using the Grants.gov APPLY function to accept electronic applications. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received timely and accepted by the Department of Education.

FIND UNDER COMPETITION NUMBER 84-133B2005-3.

1) **REGISTER EARLY** – Grants.gov registration is a one-time process that takes several days to complete. You cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to:
<http://www.grants.gov/GetStarted>

2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection. If you start uploading your application before 4:30 Washington, DC time on the application deadline date, and it does not finish uploading until after 4:30 pm, your application will be marked late. If that happens, please see the section below on submission problems.

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 pm on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 pm Washington DC time on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors". If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

<http://www.grants.gov/assets/ApplicationErrorTips.pdf>

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Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the website: <http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 pm, unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to Education's database.) Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools.

MAC Users

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf) white paper published by Pure Edge: http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf, and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain a waiver to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

SECTION C

Notice Inviting Application

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services

Overview Information

National Institute on Disability and Rehabilitation Research (NIDRR)--
Rehabilitation Research and Training Centers (RRTC)

Notice inviting applications for new awards for fiscal year (FY) 2005.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.133B-3

Dates:

Applications Available: June 17, 2005.

Deadline for Transmittal of Applications: August 16, 2005.

Eligible Applicants: States; public or private agencies, including for-profit agencies; public or private organizations, including for-profit organizations; institutions of higher education (IHEs); and Indian tribes and tribal organizations.

Estimated Available Funds: \$1,300,000.

Note: Additional funding information is provided elsewhere in this notice under Section II Award Information.

Maximum Award: We will reject any application that proposes a budget exceeding \$1,300,000 for a single budget period of 12 months.

Note: The maximum amount includes direct and indirect costs. The maximum allowable indirect cost rate is 15 percent.

Number of Awards: 1.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the RRTC program is to improve the effectiveness of services authorized under the Rehabilitation Act of 1973, as amended (Act). For FY 2005, the competition for new awards

focuses on projects designed to meet the priority we describe in the Priority section of this notice. We intend this priority to improve rehabilitation services and outcomes for individuals with disabilities.

Priority: This priority is from the notice of final priority for this program, published elsewhere in this issue of the Federal Register.

Absolute Priority: For FY 2005 this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Promoting Access To Effective Consumer-Centered And Community-Based Practices And Supports For Adults With Serious Mental Illness.

The general and specific requirements for meeting this priority are in the notice of final priority for this program, published elsewhere in this issue of the Federal Register.

Program Authority: 29 U.S.C. 762(g) and 764(b)(2).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, and 97; (b) the regulations for this program in 34 CFR part 350; and (c) the notice of final priority for this program, published elsewhere in this issue of the Federal Register.

Note: The regulations in 34 CFR part 86 apply to IHEs only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$1,300,000.

Note: This amount of estimated available funds includes \$800,000 from the Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (DHHS/SAMHSA) and \$500,000 from NIDRR.

Maximum Award: We will reject any application that proposes a budget exceeding \$1,300,000 for a single budget period of 12 months.

Note: The maximum amount includes direct and indirect costs. The maximum allowable indirect cost rate is 15 percent.

Number of Awards: 1.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 60 months.

III. Eligibility Information

1. Eligible Applicants: States; public or private agencies, including for-profit agencies; public or private organizations, including for-profit organizations; IHEs; and Indian tribes and tribal organizations.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching.

IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet use the following address:

<http://www.ed.gov/fund/grant/apply/grantapps/index.html>

To obtain a copy from ED Pubs, write or call the following:
Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398.
Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:
www.ed.gov/pubs/edpubs.html or you may contact ED Pubs at its e-mail address: edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA Number 84.133B-3.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed under For Further Information Contact in section VII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We strongly recommend that you limit Part III to the equivalent of no more than 125 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, you must include all of the application narrative in Part III. The application package will provide instructions for completing all components to be included in the application.

3. Submission Dates and Times:

Applications Available: June 17, 2005.

Deadline for Transmittal of Applications: August 16, 2005.

Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, please refer to section IV. 7. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Pre-Application Meeting: Interested parties are invited to participate in a pre-application meeting to discuss the funding priority and to receive information and technical assistance through individual consultation about the funding priority. The pre-application meeting will be held on June 30, 2005. Interested parties may participate in this meeting either in person or by conference call at the U.S. Department of Education, Office of Special Education and Rehabilitative Services, Potomac Center Plaza, room 6082, 550 12th Street, SW., Washington, DC between 10 a.m. and 12 noon. After the meeting, NIDRR staff also will be available from 1:30 p.m. to 4:00 p.m. on that same day to provide information and technical assistance through individual consultation about the funding priority. For further information or to make arrangements to attend either in person or by conference call, or for an individual consultation, contact Donna Nangle, U.S. Department of Education, Potomac Center Plaza, room 6030, 550 12th Street, SW., Washington, DC 20202. Telephone (202) 245-7462 or by e-mail:

donna.nangle@ed.gov

Assistance to Individuals With Disabilities at the Pre-Application Meeting

The meeting site is accessible to individuals with disabilities, and a sign language interpreter will be available. If you will need an auxiliary aid or service other than a sign language interpreter in order to participate in the meeting (e.g., other interpreting service such as oral, cued speech, or tactile interpreter; assistive listening device; or materials in alternate format), notify the contact person listed in this notice at least two weeks before the scheduled meeting date. Although we will attempt to meet a request we receive after this date, we may not be able to make available the requested auxiliary aid or service because of insufficient time to arrange it.

7. Other Submission Requirements: Applications for grants under this program, the Rehabilitation Research Training Centers Program-CFDA Number 84.133B-3.

a. Electronic Submission of Applications.

We have been accepting applications electronically through the Department's e-Application system since FY 2000. In order to expand on those efforts and comply with the President's Management Agenda, we are continuing to participate as a partner in the new government-wide Grants.gov Apply site in FY 2005. The Rehabilitation Research Training Centers Program-CFDA Number 84.133B-3 is one of the programs included in this project.

If you choose to submit your application electronically, you must use the Grants.gov Apply site (Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us. We request your participation in Grants.gov.

You may access the electronic grant application for the Rehabilitation Research Training Centers Program-CFDA Number 84.133B-3 at: <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted with a date/time received by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. We will not consider your application if it was received by the Grants.gov system later than 4:30 p.m. on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was submitted after 4:30 p.m. on the application deadline date.

- If you experience technical difficulties on the application deadline date and are unable to meet the 4:30 p.m., Washington, DC time, deadline, print out your application and follow the instructions in this notice for the submission of paper applications by mail or hand delivery.

- The amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program [competition] to ensure that your application is submitted timely to the Grants.gov system.

- To use Grants.gov, you, as the applicant, must have a D-U-N-S Number and register in the Central Contractor Registry (CCR). You should allow a minimum of five business days to complete the CCR registration.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- You may submit all documents electronically, including all information typically included on the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Any narrative sections of your application must be attached as files in a .DOC (document), .RTF (rich text) or .PDF (Portable Document) format.

- Your electronic application must comply with any page limit requirements described in this notice.

- After you electronically submit your application, you will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your

application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133B-3)
400 Maryland Avenue, SW.
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center - Stop 4260
Attention: (CFDA Number 84.133B-3)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.133B-3)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and 34 CFR 350.54. The specific selection criteria to be used for this competition are listed in the application package.

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VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

Note: NIDRR will provide information by letter to grantees on how and when to submit this report.

4. Performance Measures: To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR examines, through expert program review, a portion of its grantees to determine:

- The percentage of grantees judged by an external panel to be implementing a systematic, outcomes-oriented plan of evaluation, with well-formulated, measurable, and appropriate goals that are aligned with NIDRR's priorities and Government Performance and Results Act of

1993 (GPRA) and Program Assessment Rating Tool (PART) performance measures and are used to track progress towards project objectives;

- The percentage of grantee research and development that has appropriate study design, meets rigorous standards of scientific methods, and builds on and contributes to knowledge in the field;
- The number of discoveries, analyses, and standards developed and/or tested and published by NIDRR grantees that are judged by expert panels to meet accepted standards of scientific rigor;
- The number of new or improved tools and methods developed, evaluated and/or tested, and published by NIDRR grantees that are judged by an expert panel to meet accepted standards of scientific rigor;
- The percentage of new studies funded by NIDRR that assess the effectiveness of interventions, programs, and devices using rigorous and appropriate methods; and
- The percentage of non-academic and consumer-oriented dissemination products and services, nominated by grantees to be their best outputs based on NIDRR-funded research and related activities, that are judged by an expert panel to demonstrate "good to excellent" utility and have potential to advance knowledge, change/improve policy or practice, and/or enhance choice and self-determination for individuals with disabilities.

NIDRR uses information submitted by grantees as part of their Annual Performance Reports (APRs) for these reviews. NIDRR also determines, using information submitted as part of the APR:

- The number of publications in refereed journals that are based on NIDRR-funded research and development activities; and
- The percentage of NIDRR-supported fellows, post-doctoral trainees, and doctoral students who publish results of NIDRR-sponsored research in refereed journals.

Department of Education program performance reports, which include information on NIDRR programs, are available on the Department of Education Web site: <http://www.ed.gov/offices/OUS/PES/planning.html>

Updates on the GPRA indicators, revisions and methods appear in the NIDRR Program Review Web site:

<http://www.neweditions.net/pr/commonfiles/pmconcepts.htm>

Grantees should consult these sites, on a regular basis, to obtain details and explanations on how NIDRR programs contribute to the advancement of the Department's long-term and annual performance goals.

VII. Agency Contact

For Further Information Contact: Donna Nangle, U.S. Department of Education, 400 Maryland Avenue, SW., room 6030, Potomac Center Plaza, Washington, DC 20202. Telephone: (202) 245-7462 or by e-mail: donna.nangle@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the TDD number at (202) 245-7317 or the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html
Dated: June 17, 2005

John H. Hager,
Assistant Secretary for
Special Education and
Rehabilitative Services.

SECTION D
Notice of Final Priority

4000-01-U

DEPARTMENT OF EDUCATION

National Institute on Disability and Rehabilitation Research --
Disability and Rehabilitation Research Projects and Centers Program --
Rehabilitation Research and Training Centers

AGENCY: Office of Special Education and Rehabilitative Services,
Department of Education.

ACTION: Notice of final priority (NFP) on promoting access to
effective consumer-centered and community-based practices and supports
for adults with serious mental illness.

SUMMARY: The Assistant Secretary for Special Education and
Rehabilitative Services announces a funding priority for the National
Institute on Disability and Rehabilitation Research's (NIDRR)
Disability and Rehabilitation Research Projects and Centers Program,
Rehabilitation Research and Training Centers (RRTC) program. This
priority may be used for competitions in fiscal year (FY) 2005 and
later years. We take this action to focus research attention on areas
of national need. We intend this priority to improve rehabilitation
services and outcomes for individuals with disabilities.

EFFECTIVE DATE: This priority is effective July 18, 2005.

FOR FURTHER INFORMATION CONTACT: Donna Nangle, U.S. Department of
Education, 400 Maryland Avenue, SW., room 6030, Potomac Center Plaza,
Washington, DC 20202. Telephone: (202) 245-7462 or by e-mail:
donna.nangle@ed.gov

If you use a telecommunications device for the deaf (TDD), you
may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an
alternative format (e.g., Braille, large print, audiotape, or computer
diskette) on request to the contact person listed under FOR FURTHER
INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION:

Rehabilitation Research and Training Centers

RRTCs conduct coordinated and integrated advanced programs of research targeted toward the production of new knowledge to improve rehabilitation methodology and service delivery systems, alleviate or stabilize disability conditions, or promote maximum social and economic independence for persons with disabilities. Additional information on the RRTC program can be found at:

<http://www.ed.gov/rschstat/research/pubs/res-program.html#RRTC>
General Requirements of Rehabilitation Research and Training Centers

RRTCs must--

- Carry out coordinated advanced programs of rehabilitation research;
- Provide training, including graduate, pre-service, and in-service training, to help rehabilitation personnel more effectively provide rehabilitation services to individuals with disabilities;
- Provide technical assistance to individuals with disabilities, their representatives, providers, and other interested parties;
- Demonstrate in its application how it will address, in whole or in part, the needs of individuals with disabilities from minority backgrounds;
- Disseminate informational materials to individuals with disabilities, their representatives, providers, and other interested parties; and
- Serve as centers for national excellence in rehabilitation research for individuals with disabilities, their representatives, providers, and other interested parties.

The Department is particularly interested in ensuring that the expenditure of public funds is justified by the execution of intended activities and the advancement of knowledge and, thus, has built this accountability into the selection criteria. Not later than three years after the establishment of any RRTC, NIDRR will conduct one or more reviews of the activities and achievements of the RRTC. In

accordance with the provisions of 34 CFR 75.253(a), continued funding depends at all times on satisfactory performance and accomplishment of approved grant objectives.

Analysis of Comments and Changes

We published a notice of proposed priority (NPP) for this program in the Federal Register on March 3, 2005 (70 FR 10378). The NPP included a background statement that described our rationale for proposing this priority.

In response to our invitation in the NPP, 17 parties submitted comments on the proposed priority. An analysis of the comments and of any changes in the priority since publication of the NPP is discussed in the Analysis of Comments and Changes section published as an appendix to this notice.

Generally, we do not address technical and other minor changes and suggested changes we are not authorized to make under the applicable statutory authority.

Note: This notice does not solicit applications. In any year in which we choose to use this final priority, we invite applications through a notice in the Federal Register. When inviting applications we designate the priority as absolute, competitive preference, or invitational. The effect of the priority follows:

Absolute priority: Under an absolute priority, we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority, we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the competitive priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an application that meets the competitive priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority, we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

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Note: NIDRR supports the goals of President Bush's New Freedom Initiative (NFI). The NFI can be accessed on the Internet at the following site:

<http://www.whitehouse.gov/infocus/newfreedom>

The final priority is in concert with NIDRR's 1999-2003 Long-Range Plan (Plan). The Plan is comprehensive and integrates many issues relating to disability and rehabilitation research topics. Applicants will find many sections throughout the Plan that support potential research to be conducted under the final priority. The references to the topic of this priority may be found in the Plan, Chapter 4, Health and Function and Chapter 6, Independent Living And Community Integration. The Plan can be accessed on the Internet at the following site:

<http://www.ed.gov/rschstat/research/pubs/index.html>

Through the implementation of the NFI and the Plan, NIDRR seeks to:

- (1) improve the quality and utility of disability and rehabilitation research;
- (2) foster an exchange of expertise, information, and training to facilitate the advancement of knowledge and understanding of the unique needs of traditionally underserved populations;
- (3) determine best strategies and programs to improve rehabilitation outcomes for underserved populations;
- (4) identify research gaps;
- (5) identify mechanisms of integrating research and practice; and
- (6) disseminate findings.

PRIORITY

The Assistant Secretary intends to fund a priority for one RRTC that must focus on promoting access to effective consumer-centered and community-based practices and supports for adults with serious mental illness.

The RRTC must --

- 1) Identify or develop and evaluate models, methods, and measures for improving the quality of mental health outcomes through transformation of the service delivery system in a manner that reflects and embodies consumer choice. These models, methods, and measures may focus on, but are not limited to, self-determination,

consumer-centered services, consumer choice, and coordination across service systems. All of these efforts must be culturally competent and appropriate for targeted populations;

- 2) Identify or develop and then evaluate strategies for translating evidence-based mental health research findings and best practices into effective interventions, including the development of tools and supports for providers of mental health or other adjunctive services that reflect consumer choice; and
- 3) Identify or develop and evaluate interventions, such as peer support services, that help to improve workforce capacity, choice, participation, and job longevity for adults with serious mental illness.

In addition to these requirements, the RRTC must --

- Conduct a state-of-the-science conference on its respective area of research in the third year of the grant cycle and publish a comprehensive report on the final outcomes of the conference in the fourth year of the grant cycle. This conference must include materials from experts internal and external to the RRTC;

- Coordinate on research projects of mutual interest with relevant NIDRR-funded projects as identified through consultation with the NIDRR project officer;

- Involve individuals with disabilities in planning and implementing its research, training, and dissemination activities, and in evaluating the RRTC; and

- Identify anticipated outcomes (i.e., advances in knowledge and/or changes and improvements in policy, practice, behavior, and system capacity) that are linked to the applicant's stated grant objectives.

Executive Order 12866

This NFP has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with the NFP are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits--both quantitative and qualitative--of this NFP, we have determined that the benefits of the final priority justify the costs.

Summary of potential costs and benefits:

The potential costs associated with this final priority are minimal while the benefits are significant. Grantees may incur some costs associated with completing the application process in terms of staff time, copying, and mailing or delivery. The use of Grants.gov technology reduces mailing and copying costs significantly.

The benefits of the RRTC program have been well established over the years in that similar projects have been completed successfully. This final priority will generate new knowledge and technologies through research, development, dissemination, utilization, and technical assistance projects.

Another benefit of this final priority is that the establishment of a new RRTC will support the President's NFI and will improve the lives of persons with disabilities, in particular promoting access to effective consumer-centered and community-based practices and supports for adults with serious mental illness. The new RRTC will generate, disseminate, and promote the use of new information that will improve options for individuals with disabilities and allow them to perform regular activities in the community.

Applicable Program Regulations: 34 CFR part 350.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

www.gpoaccess.gov/nara/index.html

(Catalog of Federal Domestic Assistance Number 84.133B Rehabilitation Research and Training Centers Program)

PROGRAM AUTHORITY: 29 U.S.C. 762(g) and 764(b)(2).

Dated: June 17, 2005

John H. Hager,
Assistant Secretary for
Special Education and
Rehabilitative Services.

APPENDIX

Analysis of Comments and Changes

An analysis of the comments and the changes in the priority since publication of the NPP follows.

Comment: None.

Discussion: After further review of the general requirements of an RRTC and the priority requirements, we have changed the location of two of the requirements, "Identify anticipated outcomes (i.e., advances in knowledge and/or changes and improvements in policy, practice, behavior, and system capacity) that are linked to the applicant's stated grant objectives" has been moved from the general requirements of an RRTC to the priority section of the NPP.

"Demonstrate in its application how it will address, in whole or in part, the needs of individuals with disabilities from minority backgrounds" has been moved from the priority section of the NPP to the general requirements of an RRTC.

Change: The location of two of the requirements has been changed to better reflect the requirements of an RRTC. This change in the structure of the requirements does not change the requirements in the NPP.

Comment: One commenter suggested that the first required activity was ambiguous. The commenter indicated that the priority could be read to require "improving the quality of practices and supports (which should then lead to improved outcomes) or improving outcomes per se".

Discussion: The goal of this priority is to achieve improved outcomes in a variety of domains for individuals with serious mental illness. To reach that goal, the applicant may propose a variety of means that could improve the quality of practices and supports that would facilitate those outcomes. The peer review panel will evaluate the models, methods, and measures an applicant proposes.

Changes: None.

Comment: One commenter raised concerns about the phrase "strategies for translating evidence-based mental health research findings and best practices into effective interventions" that is in the second

required activity. The commenter stated that "interventions cannot be considered to be effective if they are not already evidence-based, thus evidence-based practices should by definition be effective and not require translation - unless the priority is addressing specific translational research or the adaptation of evidence-based practices for real world naturalistic settings (e.g., for communities of color, which might be considered to be more dissemination research)". The commenter further asked whether applicants were being encouraged to develop "toolkits" for practices that do not already have them or to disseminate existing evidence-based practices to populations other than those on whom the evidence was based.

Discussion: Evidence-based practices must be used in order to benefit the people they are intended to serve; research alone is insufficient for improving outcomes. This requirement focuses on strategies for translating evidence-based research findings into interventions. This can include dissemination and utilization activities. Additionally, an applicant may propose a variety of methods to achieve the goal of bridging gaps between research and implementation. The peer review panel will evaluate the methodologies applicants propose.

Changes: None.

Comment: One commenter expressed confusion about the phrase "workforce capacity and choice" in the third required activity. The commenter stated that "increasing capacity can be done purely by hiring additional staff made possible by an infusion of new resources, but this may have no impact whatsoever in terms of choice. Alternatively, training staff in culturally responsive and consumer-centered approaches can increase consumer choice and the quality of services, without having any impact on capacity. By putting the two terms together are we to understand that they are somehow related, for example, increasing specifically the capacity of the system for enhancing choice."

Discussion: This comment suggests a misunderstanding of the target population for the third required activity. This activity focuses on interventions that enhance employment opportunities for individuals

with serious mental illness -- not methods of increasing provider workforce capacity. The RRTC must identify or develop and evaluate interventions that improve job readiness, skills, and overall capacity for people with serious mental illness. Interventions that strengthen the workforce capacity of workers with serious mental illness lead to increased choice. Workers with more skills and capacity have more options and choices in the job market because they can offer more to employers.

Changes: None.

Comment: One commenter wrote that persons with psychiatric disabilities are a key emerging disability group in the United States. The commenter noted that although this population now represents one quarter of new state based vocational rehabilitation cases, the total number of interventions and effective approaches for addressing these needs is quite small. The commenter suggested that the third required activity be modified to emphasize the need for interventions that help to improve workforce participation and job longevity, as well as choice.

Discussion: We agree that adding the terms participation and job longevity would be helpful. As noted in the NPP background statement, a number of data sources indicate the need for effective programs, services, and supports to improve workforce participation for individuals with psychiatric disabilities.

Changes: The third required activity now includes the phrase "participation and job longevity" and reads, "Identify or develop and evaluate interventions, such as peer support services, that help to improve workforce capacity, choice, participation, and job longevity for adults with serious mental illness.

Comment: One commenter suggested that the priority be expanded to require greater efforts on the part of the mental health and disabilities systems in helping clients to access mainstream resources such as -- housing programs that promote home ownership opportunities, vocational opportunities that support consumers who want to enter mainstream academic or skill training programs outside the mental

health system, and social supports that work with community groups rather than solely support segregated social programs.

Discussion: NIDRR has long encouraged disability-focused providers to draw upon the wide range of generic community supports and services. Those resources might expand the range of opportunities available to individuals with disabilities. They are potential tools and supports for both providers and consumers. Within the framework of this RRTC, an applicant could propose methodologies to enhance use of such generic programs. The peer review panel will evaluate the merits of any activities of this nature that the applicant proposes.

Changes: None.

SECTION E

Background Statement

In April 2002, President George W. Bush announced the creation of the New Freedom Commission on Mental Health. He charged the Commission with studying the mental health care system in the United States and making recommendations that would enable adults with serious mental illness and children with serious emotional disturbance to live, work, learn, and participate fully in their communities. The Commission Report, “Achieving the Promise: Transforming Mental Health Care in America” (July, 2003), along with reports from the Surgeon General and numerous other public and private entities, offer consensus on a number of findings addressed in the proposed priority. These include the importance of enhancing self-determination; consumer-driven, community-based interventions; collaboration within the mental health service system; workforce development; and culturally competent care.

One promising area noted in “Achieving the Promise: Transforming Mental Health Care in America” is consumer-operated services. Such services are common: a national survey of the mental health self-help sector conducted by the U.S. Substance Abuse Mental Health Administration’s Center for Mental Health Services (Goldstrom, I., Campbell, J., Rogers, J., Lambert, D., Blacklow, B., Manderscheid, R., and Henderson, M. (Forthcoming). National estimates of mental health mutual support groups, self-help organizations, and consumer-operated services. Administration and Policy in Mental Health) shows that mental health support groups and self-help organizations run by and for mental health consumers and their families now outnumber traditional mental health organizations by almost two to one.

The Surgeon General’s Report on Mental Health estimated that about one in five Americans experience a mental disorder in a given year (U.S. Department of Health and Human Services, 1999. Mental health: Report of the Surgeon General. Rockville, MD: U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Mental Health Services, National Institute of Health, National Institute of Mental Health. Available on-line: <http://www.surgeongeneral.gov/library/mentalhealth/home.html>). Serious mental illness can interfere with the ability to work, attend school, or manage day-to-day activities. For example, labor force participation and employment rates are substantially lower for people with mental health disabilities than for people with other disabilities or with no disability (Jans, L., Stoddard, S. & Kraus, L., 2004. Chartbook on Mental Health and Disability in the United States. An

InfoUse Report. Washington, DC: U.S. Department of Education, National Institute on Disability and Rehabilitation Research). As cited in the final report of the President's New Freedom Commission on Mental Health, the "annual indirect cost of mental illnesses is estimated to be \$79 billion." (New Freedom Commission on Mental Health, 2003. Achieving the Promise: Transforming Mental Health Care in America. Final Report. DHHS Pub. No. SMA-03-3832. Rockville, MD).

NIDRR, in collaboration with the U.S. Substance Abuse Mental Health Service Administration, proposes a priority for an RRTC on promoting access to effective consumer-centered and community-based practices and supports for adults with serious mental illness. This priority focuses on outcomes rather than activities. The overall outcome for this proposed priority mirrors the President's charge: to work towards enabling adults with serious mental illness to live, work, learn, and participate fully in their communities.

SECTION F

Selection Criteria

(a) Importance of the problem (4 points total).

(1) The Secretary considers the importance of the problem.

(2) In determining the importance of the problem, the Secretary considers one or more of the following factors:

(i) The extent to which the applicant clearly describes the need and target population (2 points).

(ii) The extent to which the proposed project will have beneficial impact on the target population (2 points).

(b) Responsiveness to an absolute or competitive priority (4 points total).

(1) The Secretary considers the responsiveness of the application to an absolute or competitive priority published in the Federal Register.

(2) In determining the application's responsiveness to the absolute or competitive priority, the Secretary considers one or more of the following factors:

(i) The extent to which the applicant addresses all requirements of the absolute or competitive priority (2 points).

(ii) The extent to which the applicant's proposed activities are likely to achieve the purposes of the absolute or competitive priority (2 points).

(c) Design of research activities (35 points total).

(1) The Secretary considers the extent to which the design of research activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers one or more of the following factors:

(i) The extent to which the research activities constitute a coherent, sustained approach to research in the field, including a substantial addition to the state-of-the-art (6 points).

(ii) The extent to which the methodology of each proposed research activity is meritorious, including consideration of the extent to which--

(A) The proposed design includes a comprehensive and informed review of the current literature, demonstrating knowledge of the state-of-the-art (5 points);

(B) Each research hypothesis is theoretically sound and based on current knowledge (5 points);

(C) Each sample population is appropriate and of sufficient size (5 points);

(D) The data collection and measurement techniques are appropriate and likely to be effective (5 points); and

(E) The data analysis methods are appropriate (5 points).

(iii) The extent to which anticipated research results are likely to satisfy the original hypotheses and could be used for planning additional research, including generation of new hypotheses where applicable (4 points).

(d) Design of training activities (15 points total).

(1) The Secretary considers the extent to which the design of training activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers one or more of the following factors:

(i) The extent to which the proposed training methods are of sufficient quality, intensity, and duration (3 points).

(ii) The extent to which the proposed training content--

(A) Covers all of the relevant aspects of the subject matter (5 points); and

(B) If relevant, is based on new knowledge derived from research activities of the proposed project (5 points).

(iii) The extent to which the proposed training materials and methods are accessible to individuals with disabilities (2 points).

(e) Design of dissemination activities (5 points total).

(1) The Secretary considers the extent to which the design of dissemination activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers one or more of the following factors:

(i) The extent to which the materials to be disseminated are likely to be effective and usable, including consideration of their quality, clarity, variety, and format (2 points).

(ii) The extent to which the information to be disseminated will be accessible to individuals with disabilities (3 points).

(f) Design of technical assistance activities (4 points total).

(1) The Secretary considers the extent to which the design of technical assistance activities is likely to be effective in accomplishing the objectives of the project.

(2) In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers one or more of the following factors:

(i) The extent to which the methods for providing technical assistance are of sufficient quality, intensity, and duration (1 point).

(ii) The extent to which the technical assistance is appropriate to the target population, including consideration of the knowledge level of the target population, needs of the target population, and format for providing information (1 point).

(iii) The extent to which the technical assistance is accessible to individuals with disabilities (2 points).

(g) Plan of operation (6 points total).

(1) The Secretary considers the quality of the plan of operation.

(2) In determining the quality of the plan of operation, the Secretary considers one or more of the following factors:

(i) The adequacy of the plan of operation to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, and timelines for accomplishing project tasks (3 points).

(ii) The adequacy of the plan of operation to provide for using resources, equipment, and personnel to achieve each objective (3 points).

(h) Adequacy and reasonableness of the budget (4 points).

(1) The Secretary considers the adequacy and the reasonableness of the proposed budget.

(2) In determining the adequacy and the reasonableness of the proposed budget, the Secretary considers one or more of the following factors:

(i) The extent to which the costs are reasonable in relation to the proposed project activities (2 points).

(ii) The extent to which the budget for the project, including any subcontracts, is adequately justified to support the proposed project activities (2 points).

(i) Plan of evaluation (10 points).

(1) The Secretary considers the quality of the plan of evaluation.

(2) In determining the quality of the plan of evaluation, the Secretary considers one or more of the following factors:

(i) The extent to which the plan of evaluation provides for periodic assessment of progress toward--

(A) Implementing the plan of operation (3 points); and

(B) Achieving the project's intended outcomes and expected impacts (3 points).

(ii) The extent to which the plan of evaluation provides for periodic assessment of a project's progress that is based on identified performance measures that—

(A) Are clearly related to the intended outcomes of the project and expected impacts on the target population (2 points); and

(B) Are objective, and quantifiable or qualitative, as appropriate (2 points).

(j) Project staff (8 points total).

(1) The Secretary considers the quality of the project staff.

(2) In determining the quality of the project staff, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability (2 points).

(3) In addition, the Secretary considers one or more of the following:

(i) The extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities (2 points).

(ii) The extent to which the commitment of staff time is adequate to accomplish all the proposed activities of the project (2 points).

(iii) The extent to which the key personnel are knowledgeable about the methodology and literature of pertinent subject areas (2 points).

(k) Adequacy and accessibility of resources (5 points total).

(1) The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.

(2) In determining the adequacy and accessibility of resources, the Secretary considers one or more of the following factors:

(i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate (3 points).

(ii) The extent to which the facilities, equipment, and other resources are appropriately accessible to individuals with disabilities who may use the facilities, equipment, and other resources of the project (2 points).

SECTION G

Protection of Human Subjects

Research activities involving human subjects supported by awards under these programs are subject to Department of Education Regulations for the Protection of Human Subjects.

If you are applying on Grants.gov there is a separate place to include exempt and non-exempt narratives.

Applicants answering "Yes" to item 3 on form ED Supplemental to the SF 424 on Grants.gov or item 12 on form ED 424 whose research activities are nonexempt must complete the seven point narrative on protection of human subjects. Additionally, seven point narratives are required for each participating partner if research is being conducted at other sites.

Copies of the Department of Education regulations for the Protection of Human Subjects are available from the Grants Policy and Oversight Staff (GPOS), Office of the Chief Financial Officer, Washington, D.C., telephone: (202) 245-6154 and on the Protection of Human Subjects in research Web Site at:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

SECTION H

FREQUENTLY ASKED QUESTIONS & POINTS TO REMEMBER IN APPLICATION PREPARATION

1. CAN I GET AN EXTENSION OF THE DUE DATE?

No. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the Federal Register. However, there are no extensions or exceptions to the due date made for individual applicants.

2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?

The application should include: a project narrative, vitae of key personnel, and a budget, as well as the required forms included in this package. Vitae of staff or consultants should include the individual's title and role in the proposed project, and other information that is specifically pertinent to this proposed project. The budgets for both the first year and all subsequent project years should be included.

If collaboration with another organization is involved in the proposed activity(s), the application should include assurances of participation by the other party(s), including written agreements or assurances of cooperation. It is not useful to include general letters of support or endorsement in the application.

If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application.

Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?

NIDRR generally advises applicants that they may organize the application to follow the selection criteria that will be used to evaluate the proposal. The specific review criteria vary according to the specific program, and are contained in this Application Package.

4. MAY I SUBMIT APPLICATIONS TO MORE THAN ONE NIDRR PROGRAM COMPETITION OR MORE THAN ONE APPLICATION TO A PROGRAM?

Yes, you may submit applications to any program for which they are responsive to the program/priority requirements. You may submit the same application to as many competitions as you believe appropriate. You may also submit more than one application in any given competition.

5. WHAT IS THE ALLOWABLE INDIRECT COST RATE?

The limits on indirect costs vary according to the program and the type of application. An applicant for an Rehabilitation Research Training Center (84.133B) is limited to an indirect rate of 15%. An applicant for Advanced Rehabilitation Research Training (84.133P) project is limited to a training grant indirect rate of 8%.

An applicant for a Rehabilitation Engineering Research Center (84.133E), Disability Rehabilitation Research Project (84.133A), or Field Initiated (84.133G) project should limit indirect charges to the organization's approved indirect cost rate. If the organization does not have an approved indirect cost rate, the application should include an estimated actual rate. The Research Fellowship (84.133F) program does not use indirect cost rates.

6. CAN PROFITMAKING BUSINESSES APPLY FOR GRANTS?

Yes. However, for-profit organizations will not be able to collect a fee or profit on the grant, and in some programs will be required to share in the costs of the project.

7. CAN INDIVIDUALS APPLY FOR GRANTS?

Only organizations are eligible to apply for grants under most of the NIDRR programs. Individuals, however, are the only entities eligible to apply for the Research Fellowship (84.133F) program.

8. CAN NIDRR STAFF ADVISE ME WHETHER MY PROJECT IS OF INTEREST TO NIDRR OR LIKELY TO BE FUNDED?

No. NIDRR staff can only advise you of the requirements of the program in which you propose to submit your application. NIDRR staff cannot advise you of whether your subject area or proposed approach is likely to receive approval.

9. HOW DO I ASSURE THAT MY APPLICATION WILL BE REFERRED TO THE MOST APPROPRIATE PANEL FOR REVIEW?

Applicants can assure that their applications are referred to the correct competition by clearly indicating the competition title and CFDA number, including alphabetical code, on the Standard Form 424. The project title should describe the project and reflect the priority topic.

10. HOW SOON AFTER SUBMITTING MY APPLICATION CAN I FIND OUT IF IT WILL BE FUNDED?

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR endeavors to have awards made within five to six months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. For the purpose of estimating a project start date, the applicant should estimate approximately six months from the closing date, but no later than following September 30.

11. CAN I CALL NIDRR TO FIND OUT IF MY APPLICATION IS BEING FUNDED?

No. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. The results of the peer review cannot be released except through this formal notification.

12. IF MY APPLICATION IS SUCCESSFUL, CAN I ASSUME I WILL GET THE REQUESTED BUDGET AMOUNT IN SUBSEQUENT YEARS?

No. Funding in subsequent years is subject to availability of funds and successful project performance.

13. WILL ALL APPROVED APPLICATIONS BE FUNDED?

No. It often happens that the peer review panels approve for funding more applications than NIDRR can fund within available resources. Applicants who are approved, but not funded, are encouraged to consider submitting similar applications in future competitions.

14. HOW WILL NIDRR ASSESS THE PERFORMANCE OF FUNDED GRANTS?

A number of methods will be utilized to assess the performance of NIDRR funded grants. These methods include triangulation of data, expert panels, expert peer reviewers and formative and summative reviews. NIDRR also utilizes an annual project performance reporting web-based system (APPR) to collect information from grantees in order to determine whether continuation grants should be awarded beyond the base year. This is the form that incorporates the elements of NIDRR's GPRA indicators, applying outcomes-based requirements.

15. WILL ALL PERFORMANCE MEASURES BE APPLICABLE TO MY GRANT?

No. Applicants should consult the following web sites to obtain details and explanations as to which performance measures will be applicable to your particular application. To learn what NIDRR's 2004 performance goals, measures, targets, and timeframes are, visit:

<http://www.ed.gov/about/reports/annual/2004plan/edlite-nidrr.html>

For more detailed information on applying NIDRR's current interpretation of the definitions of performance measurement components, interested parties are also encouraged to visit:

<http://www.neweditions.net/pr/commonfiles/pmconcepts.htm>

POINTS TO REMEMBER IN APPLICATION PREPARATION

Forms

ED 424 (If applying by paper)

1. **CFDA Number**: In the title block of #4 on the 424 form, please note the appropriate CFDA 84.133B-3.
2. **DUNS number**: It is important to verify with your fiscal office the DUNS number, which goes in Block #2 on the ED 424 form. If you do not have one, call 1-800-333-0505 to set one up. This number is required.
3. **EO 12372**: Mark Block #11, the EO 12372 as no and not covered. This program is not covered.
4. **Block #6 – novice applicant**. Please leave this one blank. Does not apply to NIDRR programs.
5. **Block # 15a** : The total amount requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.

SF 424 and ED Supplemental (If applying through Grants.gov)

6. **Legal Name**: Block #5 is for the name of institution or entity. **Please note** the CFDA. 84.133, RRTC will automatically populate on Block #10 of the SF 424.
7. **Project Director**: Project director information is on the ED supplemental form in Block #1.
8. **Novice applicant**. Block #2 on the ED Supplemental - Please leave this one blank. Does not apply to NIDRR programs
9. **Block #15a**: The total amount requested includes both direct and indirect costs for the first year only. The totals on the ED 524 form must include direct and indirect costs and no year can be over the maximum amount.
10. **Human Subjects**: Block #3 on the ED Supplemental.

ED 424 and ED 524

11. Budget Information: **BE SURE TO CHECK THE MATH** – the application will not be reviewed if the request for funds on block 15a of either the ED 424 or SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs). A detailed budget narrative is needed for the total grant period years requested. By requesting detailed budget information in the initial application for the total project period, the need for formal non-competing continuation applications in the remaining years will be eliminated. A performance report that will be required annually will be used in place of the continuation application to determine progress. Definitions for the most inquired about budget categories:

Equipment – Tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with institutional policy, lower limits may be established.

Supplies – Direct materials and supplies that are consumable, expendable and a relatively low unit cost (under \$5,000).

Key Personnel - The personnel category of the budget includes **all** project staff members who are employees of the applicant. However, **KEY PERSONNEL** are defined as the Project Director(s), Principle Investigator(s), and Project Coordinator.

Other - Where applicants may place all direct costs that are not clearly covered by the other direct cost categories. It is a catch-all category that could include a wide variety of costs that do not seem to "fit" elsewhere in the budget.

12. Human Subjects: Remember to include a seven-point narrative on the protection of Human Subjects as it pertains to your grant if you check "yes" on ED 424 block number 13 or ED Supplemental block number 3. You must include a separate narrative for each site where the research is being conducted. If you check "no" please include a paragraph of why it is not required.

13. **Only the primary institution fills out the required forms.** Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork subcontractor needs to fill out is what is required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what they will be doing for your project and for what amount.

Abstract/Narrative/Appendices

14. Abstract: The ONE-PAGE abstract should be a comprehensive description of what the whole (all 5 years) project is, not a description of the competency of the institution or project director. It is not an executive summary. It can be single or double-spaced.

15. Organize your narrative in accordance with the selection criterion in SECTION F of this package. Address all criteria. Include a table of contents in your application in order to highlight where the selection criteria can be found in the application.

16. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).

17. Page numbers limitations: We strongly suggest that you keep the narrative to 125 pages, double-spaced. Not included in these pages are the forms, the abstract, the budget narrative/justification or the information on human subjects.

18. Vitae: Remember to include pertinent information in your narrative of the qualifications of the key personnel. A more extensive 2-4 page vitae can be included in the appendices

19. Advisory Board: We suggest that you limit your list of advisory board members in the application. You can give a description of the type/qualification of the person. Remember that an extensive listing of proposed names effects our peer reviewer selection.

20. Letters of Commitment/Support: If you have identified a partner, sub-contractor or consultant you should include a letter of commitment from them stating what they'll be doing on your project. We suggest that you only include key letters of support. Remember that letters of support diminish our peer reviewer pool.

21. Use Of Person Loading Charts. It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity.

Closing Date/Transmittal of Application

22. Application must be postmarked by the closing date of **August 16, 2005**. If sending by courier service (i.e., FED EX, UPS, etc. are commercial carriers that need to mail to the Landover address. Couriers can hand carry to ACC, not commercial carriers Fed X, UPS, Postal Express), please hand deliver between 8:00 a.m. and 4:30 p.m., to the following address: U.S. Department of Education, Application Control Center, **550 12th Street, SW, PCP - Room 7041**, Washington, D.C. 20202. The phone number for ACC to list for express mail is (202) 245-6288.

23. Electronic copies (soft copy) of your application should not be emailed to the Department, if submitting electronically. If you are submitting by mail, you can include an electronic copy (disk) with your application.

GRANTS.GOV

24. **We strongly suggest:** (1) Read the instructions carefully; (2) Don't wait until close to the due date to set up your account - 3 day turn around time for set up; (3) Review the application before sending final version to ensure that all information has been uploaded correctly and completely; (4) If you need to send your appendices by paper read the section below in Appendices; (5) Keep the original Federal Assistance Face page, if you are a successful applicant.

25. Electronic applications must be fully uploaded on Grants.gov by 4:30 pm, Washington, D.C. time on the closing date. For additional information on electronic submission procedures, see the section I.

26. The application information will be uploaded in four areas: ED Abstract Form; Budget Narrative Attachment Form; Program Narrative Attachment Form; and Other Narrative Attachment Form. The ED Abstract Form is for the abstract. The Budget Narrative Attachment Form is for the budget justification. The Program Narrative Attachment Form is for the application narrative based on the selection criteria – this section has the recommended 125 page limit recommendation. The Other Narrative Attachment Form will include vitas; letters, and any other appendices.

27. **UNSUBMIT:** Please note that Grants.gov does not allow you to unsubmit your application if you find an error before the due date and time. You will have to submit another “new” application and notify NIDRR that you have submitted two applications and which one is the “correct” one to review.

Miscellaneous Information and Reminders

28. **APPENDICES:** Do not attach any appendices if all of your appendices are not in electronic format. Type in the appendices section: “Appendices are being sent separately.” and note the date that they are hand delivered or mailed. Put the PR/award number and the word “Appendices” in the upper right hand corner of each page of the appendices. Send the entire package of appendices on or before the due date to:

U. S. Department of Education
Application Control Center, Attention: (CFDA # 84.133B-3 Appendices)
550 12th Street, SW (PCP - Room 7041)
Washington, DC 20202

H-5

You must clearly label the outside of the envelope with the PR/Award Number and the word “Appendices”. The phone number for ACC to list for express mail is (202) 245-6288. You must submit all hard copy appendices according to the INSTRUCTIONS FOR TRANSMITTING APPLICATIONS found elsewhere in this notice.

27. Indirect Cost: There is a restricted indirect cost rate for this program of 15%. Indirect cost office: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

28. Rehabilitation Act: To find information on the Rehab Act of 1973, as amended, as well as other NIDRR policy & legislation, go to: <http://www.ed.gov/about/offices/list/osers/nidrr/policy.html>

29. Help in Preparing Applications. We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

30. Possibility Of Learning The Outcome Of Review Panels Prior To Official Notification. Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a partner, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

31. Return Of Non-Funded Applications. We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

32. Successful Applications And Estimated/Projected Budget Amounts In Subsequent Years. There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

33. Difference Between a Cooperative Agreement and a Grant. A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

Substance Abuse and Mental Health Services Administration (SAMHSA) website
<http://www.samhsa.gov/index.aspx>

SECTION I

DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/US/duns_update/index.html

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1.888.814.1435**

SECTION J

APPLICATION FORMS

The enclosed forms shall be used by all applicants for Federal Assistance under all NIDRR programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I - Federal Assistance Application Face Page

Part II - Budget Information

Part III - Application Narrative (your narrative based on the selection criteria)

Part IV - Assurances, Certifications and Disclosures

Each submitted application should include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

For Grants.gov, Part II is called Budget Narrative Form and Part III is called Application Narrative Form.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0027, Washington, D.C. 20503.

REQUIRED FORMS:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

(Submitting by paper)

Federal Assistance Face Page (ED 424)

Budget Information (ED 524)

Assurances - Non-Construction Programs (SF 424b)

Certifications Regarding Lobbying (ED 80-0013)

Voluntary Exclusion -- Lower Tier Covered Transactions (ED 80-0014)

Disclosure of Lobbying Activities (SF LLL)

Survey on Ensuring Equal Opportunity for Applicants

(Submitting by Grants.gov)

Federal Assistance Face Page (SF 424)

SF 424 ED Supplemental

Budget Information (ED 524)

Assurances - Non-Construction Programs (SF 424b)

Grants.gov Lobbying Form

Voluntary Exclusion -- Lower Tier Covered Transactions (ED 80-0014)

Disclosure of Lobbying Activities (SF LLL)

Survey on Ensuring Equal Opportunity for Applicants

SECTION K

APPLICATION CHECKLIST

Does your application include each of the following?

- ☐ Cover page (ED 424) marked appropriately with 84.133B-3?
- ☐ Is the Priority Topic in the Descriptive Title block#13 in the ED 424 or Block 11 in the SF 424?
- ☐ Budget form (ED form 524) dollar amounts not exceeding the maximum in any year
- ☐ Budget narrative for each year (MATH CHECKED)
- ☐ Program narrative, including abstract and responses to the selection criteria
- ☐ Assurances and Certifications [list]
- ☐ If submitting on Grants.gov, did you upload the correct files?

Did You --

- ☐ Mail or submit application on or before **August 16, 2005**?
- ☐ If submitting by paper, provide one (1) original plus 2 copies of the application (One original and nine copies are requested)?
- ☐ If submitting by paper, include all required forms with original signatures and dates?
- ☐ Include narrative on the Protection of Human Subjects?
- ☐ If submitting on Grants.gov was your upload **fully completed before the 4:30 pm, Washington, D.C. time on the closing date?**

- | | | |
|--|-----------|---|
| <input type="checkbox"/> Mail* Application To: | OR | Hand deliver* Application To: |
| ATTN: 84.133B-3 | | ATTN: 84.133B-3 |
| U.S. Department of Education | | U.S. Department of Education |
| Application Control Center | | Application Control Center |
| 400 Maryland Avenue, SW | | 7550 12 th Street, SW, PCP - Room 7041 |
| Washington, DC 20202-4260 | | Washington, DC 20202 |

OR submit electronically via Grants.gov

For other mailing address for commercial carriers (UPS, FED ex, etc.) See Section C.

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 245-6288

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page <http://www.ed.gov/> (WWW address)

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., States, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the fiscal funding/budget period by each contributor. Value of kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State Government B. County Government C. Local Government D. City or Township Government E. Special District F. Independent School District G. Public/State Controlled Institution of Higher Education H. Private University I. Institution of Higher Education J. Native American Tribal Government (Federally Recognized) L. Individual M. For-Profit Organization (Other than small business) N. Other (Specify) O. Nonprofit Organization (Other than Institution of Higher Education) P. Native American Tribal Government (Other than Federally Recognized) Q. Public/Indian Housing Authority R. Small Business	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and tax

8.	<p>Select the type from the following list:</p> <ul style="list-style-type: none"> • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration 	18	<p>To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

SF-424 (Rev. x-xx) Back

**INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424**

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for

DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other

purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in***

the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.

[Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the

involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics: Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) Sources of Materials: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Recruitment and Informed Consent: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Potential Risks: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Protection Against Risk: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Importance of the Knowledge to be Gained: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary
U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary
Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]
Pay attention to applicable program specific instructions,
if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503